

G.S. 150B-21.3A Report for 21 NCAC 04, COMMISSION FOR AUCTIONEERS

Agency - North Carolina Auctioneer Licensing Board

Comment Period - October 28, 2016 through January 5, 2017

Date Submitted to APO - Filled in by RRC staff

| Subchapter | Rule Section | Rule Citation | Rule Name | Date and Last Agency Action on the Rule | Agency Determination [150B-21.3A(c)(1)a] | Implements or Conforms to Federal Regulation [150B-21.3A(e)] | Federal Regulation Citation |
|--|---|-------------------|--|---|---|--|-----------------------------|
| SUBCHAPTER 4B - AUCTIONEER LICENSING BOARD | SECTION .0100 - ORGANIZATION AND GENERAL PROVISIONS | 21 NCAC 04B .0101 | PURPOSE | Eff. November 1, 1984 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0102 | BOARD OFFICE | Amended Eff. March 1, 2003 | Necessary without substantive public interest | No | |
| | | 21 NCAC 04B .0103 | DEFINITIONS | Amended Eff. May 1, 2006 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0104 | ADMINISTRATIVE LAW PROCEDURES | Amended Eff. July 1, 1995 | Necessary with substantive public interest | No | |
| | SECTION .0200 - APPLICATION FOR LICENSE | 21 NCAC 04B .0201 | APPLICATION FORMS | Amended Eff. May 1, 2006 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0202 | FILING AND FEES | Amended Eff. April 1, 2003 | Necessary with substantive public interest | No | |
| | SECTION .0300 - EXAMINATIONS | 21 NCAC 04B .0301 | SUBJECT MATTER | Amended Eff. May 1, 2006 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0302 | RE-EXAMINATION/REFUND OF FEES | Amended Eff. April 1, 2001 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0303 | EXAM: REVIEW: PAPERS AND CONTENTS | Amended Eff. June 1, 1991 | Necessary with substantive public interest | No | |
| | SECTION .0400 - LICENSING | 21 NCAC 04B .0401 | LICENSE NUMBER: DISPLAY OF LICENSE AND POCKET CARD | Amended Eff. May 1, 2006 | Necessary with substantive public interest | No | |

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| | | 21 NCAC 04B .0402 | LICENSE RENEWAL | Amended Eff. April 1, 2001 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0403 | APPRENTICE AUCTIONEER LICENSE | Amended Eff. April 1, 2001 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0404 | GROUND FOR LICENSE DENIAL OR DISCIPLINE | Amended Eff. April 1, 2001 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0405 | INVOLVEMENT IN COURT ACTION OR ADMINISTRATIVE HEARING | Amended Eff. April 1, 2001 | Necessary with substantive public interest | No | |
| | SECTION .0500 - SCHOOLS OF AUCTIONEERING | 21 NCAC 04B .0501 | APPLICATION FOR COURSE APPROVAL | Amended Eff. April 1, 2001 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0502 | REQUIREMENTS FOR APPROVAL/MINIMUM STANDARDS | Amended Eff. May 1, 2006 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0503 | CERTIFICATION OF COURSE COMPLETION | Eff. November 1, 1984 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0504 | RECORDS MUST BE MAINTAINED | Eff. November 1, 1984 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0505 | GROUND FOR APPROVAL: SUSPENSION OR REVOCATION | Amended Eff. April 1, 1996 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0506 | ALLOWING UNLICENSED BID CALLERS: EXCEPTION | Eff. November 1, 1984 | Necessary with substantive public interest | No | |
| | SECTION .0600 - GENERAL AUCTIONEERING | 21 NCAC 04B .0601 | CHANGE OF ADDRESS OR BUSINESS NAME OR OWNERSHIP | Amended Eff. April 1, 2001 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0602 | ADVERTISING | Amended Eff. May 1, 2006 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0603 | SALE PROCEEDS, ACCOUNTING AND ESCROW ACCOUNTS | Amended Eff. April 1, 2003 | Necessary with substantive public interest | No | |

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| | | 21 NCAC 04B .0604 | CONTRACTS, CONSIGNMENT RECORDS, SALES RECORDS, AND BIDDER REGISTRATION RECORDS | Amended Eff. May 1, 2006 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0605 | BIDDING | Amended Eff. May 1, 2006 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0606 | AUCTION FIRMS | Eff. May 1, 2006 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0607 | NON-AUCTION FIRM BUSINESSES | Eff. May 1, 2006 | Necessary with substantive public interest | No | |
| | SECTION .0700 - RECOVERY FUND | 21 NCAC 04B .0701 | APPLICATIONS | Eff. January 1, 1995 | Necessary with substantive public interest | No | |
| | SECTION .0800 - CONTINUING EDUCATION | 21 NCAC 04B .0801 | CONTINUING EDUCATION COURSE | Amended Eff. April 1, 2003 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0802 | APPLICATION FOR ORIGINAL APPROVAL | Amended Eff. April 1, 2003 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0803 | STUDENT FEE FOR COURSES | Eff. April 1, 2001 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0804 | APPROVAL OF CONTINUING EDUCATION INSTRUCTORS | Amended Eff. April 1, 2003 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0805 | SPONSOR REQUIREMENTS | Eff. April 1, 2001 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0806 | COURSE COMPLETION REPORTING | Amended Eff. May 1, 2006 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0807 | CHANGE IN SPONSOR OWNERSHIP AND OTHER INFORMATION | Eff. April 1, 2001 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0808 | COURSE RECORDS | Eff. April 1, 2001 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0809 | RENEWAL OF COURSE AND SPONSOR APPROVAL | Eff. April 1, 2001 | Necessary with substantive public interest | No | |

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| | | 21 NCAC 04B .0810 | DENIAL OR WITHDRAWAL OF APPROVAL | Eff. April 1, 2001 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0811 | MINIMUM CLASS SIZE | Eff. April 1, 2001 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0812 | SCHEDULING AND NOTICE OF SCHEDULED COURSES | Eff. April 1, 2001 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0813 | ADVERTISING; PROVIDING COURSE INFORMATION | Eff. April 1, 2001 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0814 | CONDUCT OF CLASSES | Eff. April 1, 2001 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0815 | INSTRUCTOR CONDUCT AND PERFORMANCE | Eff. April 1, 2001 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0816 | MONITORING ATTENDANCE | Eff. April 1, 2001 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0817 | STUDENT PARTICIPATION STANDARDS | Eff. April 1, 2001 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0818 | ADDITIONAL SPONSOR REQUIREMENTS | Eff. April 1, 2001 | Necessary with substantive public interest | No | |
| | | 21 NCAC 04B .0819 | ALTERNATIVE COMPLIANCE | Amended Eff. May 1, 2006 | Necessary with substantive public interest | No | |



